IT PROJECT EVALUATION

Project Tracking No.: E-003-FY03-DHS

Return on Investment Program Funding Application (FY 2003 Request)

This is an electronic template. Please enter your responses on this document. Only electronic submittals of this template will be accepted. Proposals submitted after the designated due date may not receive funding consideration.
FINAL AUDIT REQUIRED: The Enterprise Quality Assurance Office of the Information Technology Department is required to perform a final project outcome audit, after implementation, for all Pooled Technology funded projects.

Agency Name: Department of Human Services

Project Name:

Expenditure Name: DHS Welfare Reform-Related Techonology Fund – SFY 2003 (Submitted 06/14/01) (Resubmitted July 13, 2001)

Agency Manager: Siri Granberg, Division of Economic Assistance

Agency Manager Phone Number / E-mail: (515) 281-8328 / sgranbe@dhs.state.ia.us

Executive Sponsor (Agency Director or Designee): Deb Bingaman

Request For ROI Application Waiver:

Agencies are required to complete this funding application when requesting funds for any project, any IT expenditure costing over $100,000, or any non-routine IT expenditure. If you feel there is compelling reason to waive this requirement, please provide (in the box provided below) a brief description of the project or expenditure, the budget amount, and a rationale for the waiver request. Until a decision is made regarding your waiver request, it is not necessary to complete any other portion of this application. The ITD Enterprise Quality Assurance Office will convey waiver request decisions within five working days of receipt.

Explanation: NA

IT PROJECT EVALUATION

A. Project or Expenditure Rationale

Is this project or expenditure necessary for compliance with a Federal standard, initiative, or statute? ☒ **YES** (If "YES," explain) ☐ **NO**

Explanation: Maintenance of current systems is crucial to the department's ability to comply with existing federal rules, regulations and law. Failure to fix system problems may result in the inability to process cash assistance and food stamp payments to clients, or authorize them for Medical assistance. We will also use this expenditure to implement any federal changes, including significant changes in policy and in data collection due to TANF, Food Stamp or Medicaid reauthorization. Failure to comply with federal TANF data reporting requirements will result in a sanction of up to $7.4M per fiscal quarter. (A sanction in FFY 2003 results in a $3.7M per quarter sanction that must be paid in FFY 2004 and a requirement to spend an additional $3.7M per quarter of state non-MOE funds in FFY 2005.) Failure to make changes required in Medicaid can result in loss of federal funding ranging from loss of Federal Financial Participation (FFP) of 63% - 75%, to loss of all Medicaid administrative funding.
{Section 409(a)(2) and 411(a) of the Social Security Act authorizes federal funds to states to help needy children and their families through the Temporary Assistance for Needy Families (TANF) program.
Federal policies for the TANF program are in the Code of Federal Regulations, Title 45, Parts 262.1(a)(3) and 265.8
Federal policies for the Medicaid program are in the Code of Federal Regulations, Title 42, Chapter IV, Subchapter C, Parts 430 through 489.
Food Stamp policies and procedures are based on the Food Stamp Act of 1977, as amended and are in the Code of Federal Regulations, Title 7.}

Is this project or expenditure required by State statute? ☒ **YES** (If "YES," explain) ☐ **NO**

Explanation: Maintenance of current systems is crucial to the department's ability to comply with existing state rules, regulations and law. Failure to fix system problems may result in the inability to process cash assistance and food stamp payments to clients, or authorize them for Medical assistance. We will also use this expenditure to support state requirements as the department introduces new strategies for assisting families in reaching self-sufficiency and health. We will also implement any new state legislative requirements in policy or process, including significant changes in policy and in data collection due to TANF, Food stamp or Medicaid reauthorization.
{ The state legislation that authorizes the Family Investment Program is Iowa Code Chapters 217, "Department of Human Services", and 239B, "Family Investment Program". The policies specific to the Family Investment Program are in 441 Iowa Administrative Code, Chapters 7, 40, 41, 43, 45, 46, 47, 48, 49, and 93.
Iowa Code Chapter 249A authorizes Iowa's participation in the Medicaid program. The policies specific to the Medicaid program are in 441 Iowa Administrative Code, Chapters 75 through 88.
The policies specific to the Food Stamp program in Iowa are in 441 Iowa Administrative Code Chapter 65.}

IT PROJECT EVALUATION

Does this project or expenditure meet a health, safety or security requirement?
☒ **YES** (If "YES," explain) ☐ **NO**

Explanation: This technology will support programs that provide benefits and services annually to approximately 20,553 families (average monthly) served by the Family Investment Program, 57,726 households (average monthly) receiving Food Stamps and 213,837 (average monthly) individuals who receive Medicaid. These data will be available for evaluating results and monitoring progress toward the results of safe, stable, healthy and self-sufficient Iowans.

Is this project or expenditure necessary for compliance with an enterprise technology standard?
☐ **YES** (If "YES," explain) ☒ **NO**

Explanation:

Is this project or expenditure consistent with meeting the goals and objectives of the State's strategic plans?
☒ **YES** (If "YES," explain) ☐ **NO**

Explanation: These data will be available for evaluating results and monitoring progress toward the results of safe, stable, healthy and self-sufficient Iowans.

Is this a "research and development" project or expenditure? ☐ **YES** (If "YES," explain) ☒ **NO**

Explanation:

B. Project or Expenditure Summary

1. Provide a pre-project or pre-expenditure (before implementation) and a post-project or post-expenditure (after implementation) description of the impacted system or process. In particular, note if the project or expenditure makes use of information technology in reengineering traditional government processes.

Response:

A. Pre-Project Description: The Family Investment Program (FIP), Food Stamp and Medicaid programs are very interrelated. The majority of families receiving FIP also receive Food Stamps and Medicaid, and the majority of individuals receiving Food Stamps also receive Medicaid. Federal laws and regulations require that Medicaid follow certain FIP policies as they existed in 1996. The interrelationships between these programs and the individuals served require care and coordination in maintenance and expansion of services and enabling processes and systems. The current DHS technology allows us to assist staff in determining eligibility and benefits, meets some federal reporting requirements, assists in program evaluation, and makes information available to program and field staff for business decisions for the FIP, Food Stamp, Medicaid, and related programs. We must maintain systems as well as update them to reflect policy changes made at the federal or state level and to take advantage of advances in the field of technology.

The federal government allocates Temporary Assistance for Needy Families (TANF) block grant funds to states on a federal fiscal year basis. TANF and state funding in the amount of $1,246,174 (TANF) and $778,008 (state dollars), for this project is expected to be appropriated in the Department of Human Services Appropriation Bill. Technology for the FIP program is funded 100% by TANF dollars. The state funding is needed in order to draw between 50% and 75% federal match from the food stamp and Medicaid programs. The combination of TANF, state and federal funding is required in order to complete this project.

B. Post-Project Description: This request represents SFY 2003 funding to:

- Meet federal and state requirements for the Temporary Assistance For Needy Families, Food Stamp, Medicaid and related programs.
- Provide efficient support of staff allowing accurate eligibility and benefit determination.
- Support workers in serving families consistent with federal requirements and with state initiatives (management of caseloads).
- Continue food stamp payment accuracy improvement. (Failure to meet federal food stamp error rates can result in high fiscal sanctions while a high food stamp payment accuracy can result in enhanced federal funding. Iowa is currently on a path to be able to compete for enhanced funding in future years.)
- Facilitate the interrelationships between the FIP, Food Stamp and Medicaid programs and coordination of benefits and services provided to individuals and families will be reflected in technology solutions.
- Have information more readily available to program and field staff for business decisions for FIP, Food Stamp, Medicaid, and related programs.
- Make data available for evaluating results and monitoring progress towards the results of safe, stable, healthy and self-sufficient Iowans.
- Support project planning and project management required to implement federal and state requirements as new strategies for assisting families in reaching self-sufficiency are introduced.
- Support:

➢ application development and system programming;
➢ increased tracking;
➢ increased data storage capacity and data collection;
➢ increased data interface capabilities
➢ implementing software changes necessary to:

- meet systems requirements (reporting and tracking) in federal law;
- update systems in order to support workers in serving families consistent with federal requirements and with state initiatives (case management activities);
- take advantage of improvements in technology.

2. Summarize the extent to which the project or expenditure improves customer service to Iowa citizens or within State government. Included would be such items as improving the quality of life, reducing the government hassle factor, providing enhanced services, improving work processes, etc.

Response:

- This funding supports and is necessary for the continued ongoing, long-term operation of our programs.
- Federal and state law changes and changing federal regulations require technology enhancements on an ongoing basis.
- Improving work processes will improve the quality and accuracy of services to consumers, thereby increasing customer satisfaction, and avoiding future federal error rate sanctions. Reducing federal error rate sanctions increases the probability of qualifying for enhanced funding for Food Stamps.
- State match is required to receive federal matching assistance in the Food Stamp and Medicaid programs.
- Failure to comply with any federal policy changes or in data reporting requirements will result in a loss of federal TANF block grant funding of up to $3.7M per fiscal quarter and puts the $131M block grant at risk. If this sanction were imposed, the state would also be required to make up the loss with state funding.
- This funding supports the Department's goal to encourage stable, self-sufficient, healthy and safe families.

Fiscal consequences of not funding technology:

- State match is required to receive federal matching funds in the Food Stamp and Medicaid programs. Every state dollar lost will result in loss of at least one federal dollar.
- Failure to comply with federal TANF data reporting requirements will result in a sanction of up to $14.9M per fiscal year for each of the next two state fiscal years.
- Failure to meet federal food stamp error rates can result in a high fiscal sanction.
- Failure to make changes required in Medicaid can result in loss of federal funding ranging from loss of FFP of 63% to 75% to a loss of all Medicaid administrative funding.

Other consequences of not funding technology:

- Consumers will not receive benefits and services in the most efficient, timely manner possible, and may receive incorrect amount of benefits.

3. Identify the main project or expenditure stakeholders and summarize the extent to which each, especially citizens, is impacted. In particular, note if the project or expenditure helps reconnect Iowans to State government.

Response:

- **External Customers:**
  - This technology will support programs that provide benefits and services annually to approximately 20,553 families (average monthly) served by the Family Investment Program, 57,726 households (average monthly) receiving Food Stamps and 213,837 (average monthly) individuals who receive Medicaid.
  - Legislators and policy makers will have access to data needed to make decisions.
- **Internal Customers**
  - 700 Department of Human Services line staff using the systems daily as a basic function of their jobs.
  - Department of Human Services management staff making decisions based on the data.
  - 300 Iowa Workforce Development PROMISE JOBS staff using the systems daily as a basic function of their jobs.

SECTION II: PROJECT ADMINISTRATION

A. Agency Information

1. Project Executive Sponsor Responsibilities: The sponsor must have the authority to ensure that adequate resources are available for the entire project, that there is commitment and support for the project, and that the organization will achieve successful project implementation.

Response: No response required.

2. Organization Skills:

a. List the project management skills necessary for successful project implementation
b. List the project management skills available within the agency
c. List the source(s) of project management skills lacking within the agency
d. Summarize relevant agency project management experience and results

Response:

a. Successful project implementation requires staff with skill sets in development and maintenance of mainframe and client server applications, technical writer and IT project management skills.
b. Supervisors and team leaders attended a two-day training session on project management. Expertise regarding FIP, Food Stamps and Medicaid policy is required; these skills are available within the Department.
c. State staff may be supplemented with contract staff to fulfill the needs of the department paid for by this funding.
d. Staff used project management techniques to complete major system projects in SFY 2000 and 2001. Staff learned lessons from these projects, and continue to improve their project management skills.

B. Project Information

1. History:

a. Is this project the first part of a future, larger project? If so, please explain.
b. Is this project a continuation of a previously begun project? If so, please explain project history, current status, and results.

Response:

A. No
B. Yes. This project is a continuation of the department's effort to maintain and upgrade its computer system to ensure customers receive their benefits in a timely correct manner. The department also uses the system to provide data needed to meet federal reporting requirements and to track, monitor, and evaluate the outcomes of the department's processes.

2. Expectations: Describe the primary purpose or reason for the project.

Response:
Technology provides significant support to the Department's goal to support stable, self-sufficient, healthy and safe families. Strategies and initiatives to support this goal include:

- Decrease the number of families needing welfare benefits.
- Increase the average wage level for those leaving welfare with earned income.
- Increased access to health care for low-income children.
- Expand Diversion (assistance to help families avoid or reduce their need for FIP assistance by supporting job retention and career advancement).

More direct goals that will be met with this funding include:

- More efficient, effective implementation of changes in order to enhance customer satisfaction.
- Improving program accuracy and avoiding federal sanctions.
- Meeting federal data reporting requirements.
- Having information more readily available to program and field staff for business decisions.

Benefits that will result from this funding include:

- Efficient, effective implementation of changes resulting in improved customer service.
- Improved program accuracy and avoidance of federal sanctions.
- Meeting federal data reporting requirements.
- Information will be readily available for program and field staff to use in making business decisions.

3. Measures: Describe the criteria that will be used to determine if the project is successful.

Response:
Since this project will contain a variety of efforts, each will be reviewed through the Income Maintenance Business Systems Planners meeting for priority, timeliness, staffing and any other areas of concern for project delivery. Each component will be monitored through project control for the detail portions. Reviews will assess if the project is on schedule, if requirements have changed, and how we are progressing against the budget. Other criteria include not incurring federal sanctions due to not meeting federal data reporting requirements and implementing efficient work processes and having readily accessible data for decisions.

4. Environment: List the project participants (i.e. single agency, multiple agencies, State government enterprise, citizens, associations, or businesses, etc.).

Response:
The following will have input into the development of all projects:

- Department of Human Services line staff.
- Department of Human Services policy staff.
- Department of Human Services data management staff.
- Department of Human Service management staff.
- Iowa Workforce Development PROMISE JOBS staff.
- Constituents served as necessary.
- Providers as necessary.

5. Risk: Describe the project risks which may be internal or external to State government, i.e. implementing versus not implementing project, changing technology, potential cost overruns, changing citizen demand or need, etc.

Response: Risks associated with not maintaining this system include: federal sanctions; failure to provide timely and accurate benefits; increased resource costs created by demands from increased appeals and overpayments

6. Security / Data Integrity / Data Accuracy / Information Privacy
   a. List the security requirements of the project
   b. Describe how the security requirements will be integrated into the project and tested
   c. Describe what measures will be taken to insure data integrity, data accuracy and information privacy.

Response:
A. Use of these systems is an on-going activity covered by the department's confidentiality and non-disclosure laws. Iowa Code 217.30 generally requires that information regarding individuals receiving any services or assistance from the Department shall be held confidential and used only for purposes of administration of the Department's programs. Only those who administer the department's programs have access to the data.
B. NA; this is an on-going effort.
C. We consider the data within these applications to be confidential and users are bound by confidentiality and non-disclosure laws. The department ensures security ensured at multiple levels and by multiple methods. RACF security and internal application security is used on the mainframe applications. For the Client Server applications, NT Authentication, SQL Authentication, and internal application security is used. All data elements are secured within their environment and data accuracy and integrity is ensured by application edits.

7. Project Schedule
Describe general time lines, resources, tasks, checkpoints, deliverables, responsible parties, etc.

Response:
Every day, data management staff reviews reports that show the system output data to ensure the system is functioning within standards.
Data management staff maintains a set schedule for the year that ensures specific jobs will run, in order to process department cases according to policy.
In addition, this expenditure supports a variety of projects. Each project is reviewed by the Income Maintenance Business Systems Planners for priority, timeliness, staffing and any other areas of concern for project delivery. The service request process ensures that the project is on schedule, that requirements are unchanged, and that we are within the budget.

SECTION III: TECHNOLOGY (In written detail, describe the following)

A. Current Technology Environment

1. Software (Client Side / Server Side / Midrange / Mainframe):

a. Application software

Response:

Client Side –
Microsoft Products including, but not limited to: Visual Studio 6.0, MS Project 98, MS Office 97 Suite Professional, MS Front Page 98, MS SQL 6.5 & 7.0, MS Visual Source Safe, etc.
MicroFocus Products including, but not limited to: Net Express 3.0, Revolve, etc.
EDA Products including, but not limited to: EDA Client, EDA ODBC Extender, etc.
CA Products including, but not limited to: CA Server ODBC Drivers
Visio 5.0 & 2000
JavaScript
VB Script
PowerDesigner 6.0 & 8.0
Paint Shop Pro 6.0
Marshallsoft SEECB4
MacroMedia Flash 4.0
Norton AntiVirus 7.01

Server Side –
Microsoft Products including, but not limited to: MS SQL 6.5 & 7.0, MS Exchange, IIS, MS Visual Source Safe, etc.
EDA Products including, but not limited to: EDA Client, EDA ODBC Extender, etc.
Active Server Pages
REXEC Daemon
FTP
SMS
Norton AntiVirus 7.01

Mainframe –IBM Products including, but not limited to: TSO, CICS, PanValet, etc.
CA Products including, but not limited to: IDMS, Culprit, etc.
SyncSort
VSAM
COBOL

b. Operating system software

Response:

Client Side –
Windows 95
Server Side –
Windows NT
Mainframe –
JES3

c. Major interfaces to other systems, both internal and external

Response:

Client Side –

EDA Products including, but not limited to: EDA Client, EDA ODBC Extender, etc.
CA Products including, but not limited to: CA Server ODBC Drivers

Server Side –

Microsoft Products including, but not limited to: MS SQL 6.5 & 7.0, MS Exchange, IIS, etc.
EDA Products including, but not limited to: EDA Client, EDA ODBC Extender, etc.
REXEC Daemon
FTP
SMS

Mainframe –IBM Products including, but not limited to: TSO, CICS, PanValet, etc.
CA Products including, but not limited to: IDMS, Culprit, etc.

2. *Hardware (Client Side / Server Side / Mid-range / Mainframe):*

a. Platform, operating system

Client Side –

Developer Environment

Make/Model	Quantity	CPU	Operating System
Gateway 2000	5	200	Windows 95
Gateway E3000	4	200	Windows 95
Gateway E3200	3	350	Windows 95
Gateway E4200	10	350	Windows 95
Gateway E4200	5	500	Windows 95
NEC Powermate 8100	11	350	Windows 95
NEC Powermate Enterprise	16	233	Windows 95
Gateway E-4200	10	700	Windows 95

Server Side –

LAN Environment

Quantity	CPU	RAM	Hard Disk Space	Operating System	Function/Description	Associated Software	Communication Requirements
1	266	128MB	13GB	Windows NT	File/Print Services	NT	T1
1	200	2GB	20GB	Windows NT	SQL Server 6.5	NT, SQL	100MB
1	200	1GB	21GB	Windows NT	SQL Server 6.5	NT, SQL	100MB
1	266	128MB	13GB	Windows NT	File/Print Services	NT	T1
2	200	1GB	25GB	Windows NT	File/Print Services	NT, FACS & Star	100MB
4	549	1GB	27GB	Windows NT	SQL Server 7.0 Test & Production	NT, SQL	100MB
1	399	1GB	44GB	Windows NT	SQL Server 7.0 Test & Production	NT, SQL	100MB
2	200	64MB	8GB	Windows NT	Imaging	NT, Eastman Imaging	100MB
1	200	256MB	12GB	Windows NT	Imaging	NT, Eastman Imaging	100MB
1	200	196MB	12GB	Windows NT	WINS	NT	100MB
4	200	128MB	12GB	Windows NT	Imaging	NT, Eastman Imaging	T1
1	200	128MB	16GB	Windows NT	Intranet FACS	NT, FACS, IIS	100MB
1	200	128MB	4GB	Windows NT	Imaging	NT, Eastman Imaging	T1
1	497	512MB	50GB	Windows NT	Exchange Server	NT, Microsoft Exchange	100MB
1	266	512MB	13GB	Windows NT	Network Monitoring Server	NT, HP Openview	100MB
1	266	32MB	5GB	Windows NT	File/Print Services	NT	T1
1	266	256MB	13GB	Windows NT	Technet, Network Adm, File	NT	100MB
2	266	128MB	12GB	Windows NT	HelpDesk Software/SMS	NT, SupportMagic, SMS	100MB
143	266	128MB	13GB	Windows NT	File/Print Services	NT	T1
2	333	128MB	13GB	Windows NT	File/Print Services	NT	T1
1	333	128MB	14GB	Windows NT	Middleware Server	NT, IBI	100MB
1	200	128MB	14GB	Windows NT	Middleware Server	NT, IBI	100MB
1	266	128MB	14GB	Windows NT	File/Print Services	NT	100MB

Quantity	CPU	RAM	Hard Disk Space	Operating System	Function/Description	Associated Software	Communication Requirements
1	333	128MB	25GB	Windows NT	Vipers	NT, Vipers	T1
1	399	104MB	44GB	Windows NT	Middleware Server	NT, IBI	100MB
2	266	128MB	13GB	Windows NT	File/Print Services	NT	T1
1	100	128MB	7GB	Windows NT	Admin Images	NT, Norton Ghost	100MB
1	266	128MB	13GB	Windows NT	HelpDesk Software	NT, SupportMagic	100MB
2	500	2GB	19GB	Windows NT	Intranet Server	NT, IIS, Misc. Application	100MB
2	500	1GB	17GB	Windows NT	Internet Server	NT, IIS, Misc. Application	100MB
7	500	128MB	18GB	Windows NT	Exchange Server	NT, Microsoft Exchange	100MB
1	450	104MB	26GB	Windows NT	Internet Test Server	NT, IIS, Misc. Application	100MB
1			104GB		Disk Farm	NT Raid 5, LifeKeeper	100MB
1			104GB		Disk Farm	NT Raid 5, LifeKeeper	100MB
1			156GB		Disk Farm	NT Raid 5, LifeKeeper	100MB
1			360GB		Disk Farm	NT Raid 5, LifeKeeper	100MB
1			68GB		Disk Farm	NT Raid 5, LifeKeeper	100MB
1	500	1GB	52GB		Disk Farm	NT Raid 5, LifeKeeper	100MB
1	166	256meg	8GB		Disk Farm	NT Raid 5, LifeKeeper	100MB

Mainframe Side –

Mainframe Environment

IBM 9672R45
OS390
JES3

b. Storage and physical environment

Client Side –

Developer Environment

Make/Model	Quantity	CPU	Hard drive
Gateway 2000	5	200	8 GB
Gateway E3000	4	200	2 GB
Gateway E3200	3	350	6 GB
Gateway E4200	10	350	2 GB
Gateway E4200	5	500	4 GB
NEC Powermate 8100	11	350	8 GB
NEC Powermate Enterprise	16	233	10 GB
Gateway E-4200	10	700	6 GB

Server Side –

LAN Environment

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2	200	64MB	8GB	Windows NT	Imaging	NT, Eastman Imaging	100MB
1	200	256MB	12GB	Windows NT	Imaging	NT, Eastman Imaging	100MB
1	200	196MB	12GB	Windows NT	WINS	NT	100MB
4	200	128MB	12GB	Windows NT	Imaging	NT, Eastman Imaging	T1
1	200	128MB	16GB	Windows NT	Intranet FACS	NT, FACS, IIS	100MB
1	200	128MB	4GB	Windows NT	Imaging	NT, Eastman Imaging	T1
1	497	512MB	50GB	Windows NT	Exchange Server	NT, Microsoft Exchange	100MB
1	266	512MB	13GB	Windows NT	Network Monitoring Server	NT, HP Openview	100MB
1	266	32MB	5GB	Windows NT	File/Print Services	NT	T1
1	266	256MB	13GB	Windows NT	Technet, Network Adm, File	NT	100MB
2	266	128MB	12GB	Windows NT	HelpDesk Software/SMS	NT, SupportMagic, SMS	100MB
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7	500	128MB	18GB	Windows NT	Exchange Server	NT, Microsoft Exchange	100MB
1	450	104MB	26GB	Windows NT	Internet Test Server	NT, IIS, Misc. Application	100MB
1			104GB		Disk Farm	NT Raid 5, LifeKeeper	100MB
1			104GB		Disk Farm	NT Raid 5, LifeKeeper	100MB
1			156GB		Disk Farm	NT Raid 5, LifeKeeper	100MB
1			360GB		Disk Farm	NT Raid 5, LifeKeeper	100MB
1			68GB		Disk Farm	NT Raid 5, LifeKeeper	100MB
1	500	1GB	52GB		Disk Farm	NT Raid 5, LifeKeeper	100MB
1	166	256meg	8GB		Disk Farm	NT Raid 5, LifeKeeper	100MB

Mainframe Side –

Mainframe Environment

IBM 9672R45
OS390

c. Connectivity and bandwidth

Local Area Network

LAN type: Primarily 3Com 10BaseT 10 MB Ethernet Hubs
Hub-to-Hub connections: thin coax 10 MB Ethernet
Alternate LAN type: Larger offices have Cisco 10/100 MB Ethernet (10BaseT/100BaseTX) Switches
L3/L4 Protocol: TCP/IP
Cable Type Category 5 UTP

Wide Area Network

WAN type: Frame-Relay
Local loop: T-1
Provider: ICN
Router type: Bay Networks AN/ASN
LAN interface: 10 MB Ethernet
WAN interface: V.351.544 MB T-1
L3/L4 protocol: TCP/IP
CSU/DSU type: Cray T-1

Mainframe Connections

ICN Frame Relay Network
ICN Enterprise Routers
Interface: 100MB FD Ethernet
16 MB Token Ring (Campus TR and Enet with ATM OC3 uplink)
Cicso Catalyst 5500 Ethernet / TR Switch
Cicso 7507 Router & CIP (TCP/IP to MF)

d. Logical and physical connectivity

Local Area Network

LAN type: Primarily 3Com 10BaseT 10 MB Ethernet Hubs
Hub-to-Hub connections: thin coax 10 MB Ethernet
Alternate LAN type: Larger offices have Cisco 10/100 MB Ethernet (10BaseT/100BaseTX) Switches
L3/L4 Protocol: TCP/IP
Cable Type Category 5 UTP

Wide Area Network

WAN type: Frame-Relay
Local loop: T-1
Provider: ICN
Router type: Bay Networks AN/ASN
LAN interface: 10 MB Ethernet

WAN interface: V.351.544 MB T-1
L3/L4 protocol: TCP/IP
CSU/DSU type: Cray T-1

Mainframe Connections

ICN Frame Relay Network
ICN Enterprise Routers
Interface: 100MB FD Ethernet
16 MB Token Ring (Campus TR and Enet with ATM OC3 uplink)
Cicso Catalyst 5500 Ethernet / TR Switch
Cicso 7507 Router & CIP (TCP/IP to MF)

e. Major interfaces to other systems, both internal and external

Local Area Network

LAN type: Primarily 3Com 10BaseT 10 MB Ethernet Hubs
Hub-to-Hub connections: thin coax 10 MB Ethernet
Alternate LAN type: Larger offices have Cisco 10/100 MB Ethernet (10BaseT/100BaseTX) Switches
L3/L4 Protocol: TCP/IP
Cable Type Category 5 UTP

Wide Area Network

WAN type: Frame-Relay
Local loop: T-1
Provider: ICN
Router type: Bay Networks AN/ASN
LAN interface: 10 MB Ethernet
WAN interface: V.351.544 MB T-1
L3/L4 protocol: TCP/IP
CSU/DSU type: Cray T-1

Mainframe Connections

ICN Frame Relay Network
ICN Enterprise Routers
Interface: 100MB FD Ethernet
16 MB Token Ring (Campus TR and Enet with ATM OC3 uplink)
Cicso Catalyst 5500 Ethernet / TR Switch
Cicso 7507 Router & CIP (TCP/IP to MF)

B. Proposed Technology Environment

1. Software (Client Side / Server side / Mid-range / Mainframe)
   a. Application software
   b. Operating system software
   c. Major interfaces to other systems, both internal and external
   d. General parameters if specific parameters are unknown or to be determined

Response: a, b, c - Same as III.A.1. d. Not applicable

2. Hardware (Client Side / Server Side / Mid-range / Mainframe)
   a. Platform, operating system
   b. Storage and physical environment
   c. Connectivity and Bandwidth
   d. Logical and physical connectivity
   e. Major interfaces to other systems, both internal and external
   f. General parameters if specific parameters are unknown or to be determined

Response: a, b, c, d, e - Same as III.A.2. f. Not applicable

C. Data Elements

If the project creates a new database, provide a description of the data elements.

Response: No new databases being developed.

SECTION IV: Financial Analysis

A. Budget: Enter figures and calculate (see formula below) Total Annual Prorated Cost (State Share).

$$\left[\left(\frac{Budget\ Amount}{Useful\ Life}\right)\times \%\ State\ Share\right]+\left(Annual\ Ongoing\ Cost\times \%\ State\ Share\right)=Annual\ \Pr orated\ Cost$$

Budget Line Items	Budget Amount (1st Year Cost)	Useful Life (Years)	% State Share	Annual Ongoing Cost (After 1st Year)	% State Share	Annual Prorated Cost
Agency Staff	$1,425,376	1	50%	$	%	$712,688
Software	$65,320	4	50%	$	%	$8,165
Hardware	$65,320	3	50%	$	%	$10,887
Training	$0	4	%	$	%	$
Facilities	$0	1	%	$	%	$
Professional Services	$0	4	%	$	%	$
ITD Services	$0	4	%	$	%	$
Supplies, Maint, etc.	$0	1	%	$	%	$
Other (Specify)	$0	1	%	$	%	$
Totals	$1,556016	-------	-------	$	------	$731,740

Transfer this amount to the ROI Financial Worksheet, item “D” on page 18.

B. Funding: Enter data or provide response as requested

1. This is (pick one):
   - ☐ A Pooled Technology Fund or Reengineering Fund Request
   - ☒ An Agency IT Expenditure or Budget Request (General Fund, Road Funds, etc)
   - ☐ Other – Specify:

2. On a fiscal year basis, enter the estimated cost by funding source?

	FY03		FY04*		FY05*	
	Cost ($)	% Total Cost	Cost ($)	% Total Cost	Cost ($)	% Total Cost
State General Fund	$778,008	50%	$	%	$	%
Pooled Tech. Fund	$0	%	$	%	$	%
Federal Funds	$778,008	50%	$	%	$	%
Local Gov. Funds	$0	%	$	%	$	%
Grant or Private Funds	$0	%	$	%	$	%
Other Funds (Specify)	$0	%	$	%	$	%
Total Project Cost	$1,556,016	100%	$	100%	$	100%

***Technology is an on-going expense to avoid federal sanctions and to allow us to meet federal and state requirements. Funding for SFY 2004 and future years will be requested annually.**

If applicable, summarize prior fiscal year funding experience for the project / expenditure.

Response: These are annual change requirement costs to the system.

1. On a fiscal year basis, how much of the total ($ amount and %) project / expenditure cost would be absorbed by your agency from normal operating budgets (all funding sources)?

Response: NA

2. Identify, list, and quantify all new annual ongoing (maintenance, staffing, etc.) related costs (State $s) that will be incurred after implementation or expenditure.

Response: NA

C. ROI Financial Worksheet: Respond to the following and transfer data to the ROI Financial Worksheet (see IVC11) as necessary:

1. Annual Pre-Project Cost – Quantify all actual state government direct and indirect costs (personnel, support, equipment, etc.) associated with the activity, system or process prior to project implementation. This section should be completed only if state government operations costs are expected to be reduced as a result of project implementation.

Response: N/A

2. Annual Post-Project Cost – Quantify all estimated State government direct and indirect costs associated with activity, system or process after project implementation. This section should be completed only if State government operations costs are expected to be reduced as a result of project implementation.

Response: N/A

3. State Government Benefit -- Subtract the total "Annual Post-Project Cost" from the total "Annual Pre-Project Cost." This section should be completed only if State government operations costs are expected to be reduced as a result of project implementation.

Response: N/A

4. Citizen Benefit – Quantify the estimated annual value of the project to Iowa citizens**.** This includes the "hard cost" value of avoiding expenses ("hidden taxes") related to conducting business with State government. These expenses may be of a personal or business nature. They could be related to transportation, the time expended on or waiting for the manual processing of governmental paperwork such as licenses or applications, taking time off work, mailing, or other similar expenses. As a "rule of thumb," use a value of $10 per hour for citizen time savings and $.325 per mile for travel cost savings.

Response: Citizen Benefit, although present, is not quantifiable

5. Opportunity Value/Risk or Loss Avoidance Benefit – Quantify the estimated annual non-operations benefit to State government. This could include such items as qualifying for additional matching funds, avoiding the loss of matching funds, avoiding program penalties/sanctions or interest charges, avoiding risks to health/security/safety, avoiding the consequences of not complying with State or federal laws, providing enhanced services, avoiding the consequences of not complying with enterprise technology standards, etc.

Response: See bottom of ROI Financial Worksheet

6. Total Annual Project Benefit -- Add the values of all annual benefit categories.

Response: See ROI Financial Worksheet

7. Total Annual Project Cost – It is necessary to estimate and assign a useful life figure to each cost identified in the project budget. Useful life is the amount of time that project related equipment, products, or services are utilized before they are updated or replaced. In general, the useful life of hardware is three (3) years and the useful life of software is four (4) years. Depending upon the nature of the expense, the useful life for other project costs will vary between one (1) and four (4) years. On an exception basis, the useful life of individual project elements or the project as a whole may exceed four (4) years. Additionally, the ROI calculation must include all new annual ongoing costs that are project related. Completing Section IV-A, Project Budget of the evaluation document will provide all the necessary information for this item.

Response: See Section IV, A Budget

8. Benefit / Cost Ratio – Divide the "Total Annual Project Benefit" by the "Total Annual Project Cost." If the resulting figure is greater than one (1.00), then the annual project benefits exceed the annual project cost. If the resulting figure is less than one (1.00), then the annual project benefits are less than the annual project cost.

Response: See ROI Financial Worksheet

9. ROI -- Subtract the "Total Annual Project Cost" from the "Total Annual Project Benefit" and divide by the amount of the requested State IT project funds.

Response: See ROI Financial Worksheet

10. Benefits Not Readily Quantifiable -- List the project benefits which are not readily quantifiable (i.e. IT innovation, unique system application, utilization of new technology, hidden taxes, improving the quality of life, reducing the government hassle factor, meeting a strategic goal, etc.). Rate the importance of these benefits on a "1 – 10" basis, with "10" being of highest importance. Check the "Benefits Not Readily Quantifiable" box in the applicable row.

Response: See Response at Section 1, B, 2. All are a level 10

11. ROI Financial Worksheet

Annual Pre-Project Cost - How You Perform The Function(s) Now	
FTE Cost (salary plus benefits):	$
Support Cost (i.e. office supplies, telephone, pagers, travel, etc.):	$
Other Cost (expense items other than FTEs & support costs, i.e. indirect costs if applicable, etc.):	$
A. Total Annual Pre-Project Cost:	**NA**
Annual Post-Project Cost – How You Propose to Perform the Function(s)	
FTE Cost:	$
Support Cost (i.e. office supplies, telephone, pagers, travel, etc.):	$
Other Cost (expense items other than FTEs & support costs, i.e. indirect costs if applicable, etc.):	$
B. Total Annual Post-Project Cost:	**NA**
State Government Benefit (= A-B):	**NA**
Annual Benefit Summary	
State Government Benefit:	$
Citizen Benefit:	$
Opportunity Value or Risk/Loss Avoidance Benefit:	$30,920,192
C. Total Annual Project Benefit:	$30,920,192
D. Annual Prorated Cost (SECTION IV-A):	$731,740
Benefit / Cost Ratio: (C / D) =	42.3
Return On Investment (ROI): (C – D / Requested Project Funds) x 100 =	**3880%**
☐ **Benefits Not Readily Quantifiable**	

Avoidance benefit includes $440,992 food stamps penalties, $679,200 in lost Medicaid enhanced funding and $29,800,000 TANF penalties. Funding for the TANF penalties will be needed in SFY 2004 ($14,900,000) and in SFY 2005 ($14,900,000) plus federal Match for Food Stamps and Medicaid in the amount of $778,008.

Section V: ITC Project Evaluation Criteria

Criteria and Location in Project Evaluation Document		Points
1.	Is the project a statutory requirement; legal requirement; federal or state mandate; health, safety or security requirement or issue; and/or required for compliance with the enterprise technology standards? **Location: Section I-A**	**15**
2.	Will the project improve customer service? **Location: Section I-B.2**	**15**
3.	Does the project have a direct impact on citizens? To what extent does the project help reconnect state government with Iowans? **Location: Section I-B.3**	**10**
4.	Does the project provide a sufficient tangible and/or intangible return on investment? Will it generate savings or income? **Location: Section IV-C**	**10**
5.	Does the project make use of information technology and its practical application in reengineering traditional government processes consistent with the goals and objectives of the state's strategic plans? **Location: Section I-B.1**	**10**
6.	Risk: What are the risks associated with the project? Such risks may include those internal and external to state government, the risk of doing a project, the risk of not doing a project, and the risks associated with changing technologies, potential cost overruns, and changing citizen demands and needs. **Location: Section II-B.5**	**10**
7.	Is this funding required to continue a project that was begun prior to the year funding is being requested for and does it have proven past performance? Is the funding part of a multi-year strategy? **Location: Section II-B1, IVB2**	**10**
8.	Will the project be for only one agency, multiple agencies, or the state government enterprise? **Location: Section I-B3, IIB4**	**10**
9.	Has the applicant maximized their own and other resources in the project? Is alternative funding unavailable for this project? (If no other funding available, project will not be completed without Pooled Technology funding) **Location: Section IV-B.2, IV-B.3**	**5**
10.	What is the credibility of the requester based on past performance on other projects? **Location: Section II-A.2.d**	**5**
	Total	**100**